

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: XIAOLEI SHI, ET AL

Group Art Unit:

Serial No.:

Examiner:

Filed:

For NEAR FIELD OPTICAL STORAGE MASK
LAYER, DISK, AND FABRICATION METHOD

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP PATENT APPLICATION
COMMISSIONER FOR PATENTS
ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit_____
Type or Print Name_____
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below;
- ☐ 9 ^{Or} The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

30-March-04

Date

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FORM PTO-1449 (REV. 7-80)		US. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 140264	SERIAL NO.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <u>LIST OF ITEMS</u>				Applicant XIAOLEI SHI, ET AL	
				Filing Date	Group
OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)					
	C1	J. Bosbach, et al., "Ultrafast Dephasing of Surface Plasmon Excitation in Silver Nanoparticles: Influence of Particle Size, Shape, and Chemical Surrounding", Physical Review Letters, Vol. 89, No. 25, pp. 257404-1 - 257404-4.			
	C2	E. Kim, et al., "Thermal Boundary Resistance at Ge ₂ Sb ₂ Te ₅ /ZnS:SiO ₂ Interface, Applied Physics Letters, Vol. 76, No. 26, June 6, 2000, pp. 3864-3866.			
	C3	P. Krauss, et al., "Nano-Compact Disks with 400 Gbit/in ² Storage Density Fabricated Using Nanoimprint Lithography and Read with Proximal Probe", Applied Phys. let. 71 (21), Nov. 24, 1997, pp. 3174-3176.			
	C4	J. Krug, II, et al., "Design of Near-field Optical Probes with Optimal Field Enhancement by Finite Difference Time Domain Electromagnetic Simulation", Journal of Chemical Physics, Vol 116, No. 24, 6/22/02, pp. 10895-10901.			
	C5	C. Mirkin, et al, "A DNA-Based Method for Rationally Assembling Nanoparticles into Macroscopic Materials", Letters to Nature, Vol. 382, August 15, 1996, pp. 607-609.			
	C6	C. Mirkin, "Programming the Assembly of Two- and Three-Dimensional Architectures with DNA and Nanoscale Inorganic Building Blocks", Invited Contribution from Recipient of ACS Award in Pure Chemistry, Inorg. Chem. 2000, Vol 39, pp. 2258-2272.			
	C7	J. Mock, et al., "Local Refractive Index Dependence of Plasmon Resonance Spectra from Individual Nanoparticles", Nano Letters, 2003 Vol 3, No. 4, pp. 485-491.			
	C8	J. Mock, et al., "Shape Effects in Plasmon Resonance of Individual Colloidal Silver Nanoparticles", Journal of Chemical Physics, Vol. 116, No. 15, 4/15/02, pp. 6755-6759.			
	C9	D. Shi, et al., "Multi-Layer Coating of Ultrathin Polymer Films on Nanoparticles of Alumina by a Plasma Treatment", Mat. Res. Soc. Symp., Vol. 635@ 2001 Materials Research Society, pp. C428.1-C4.28.6.			
	C10	C. Sonnichsen, et al., "Drastic Reduction of Plasmon Damping in Gold Nanorods", Physical Review Letters, Vol 88, NO. 7, 2/18/02, pp. 077402-1 - 077402-4.			
	C11	C. Sonnichsen, et al., "Plasmon Resonances in Large Noble-Metal Clusters", New Journal of Physics 4, (2002), pp. 93.1 -93.8.			
	C12	Y. Sun, et al., "Crystalline Silver Nanowires by Soft Solution Processing", Nano Letters, 2002, Vol. 2, No. 2, pp. 165-168.			
	C13	Y. Sun, et al., "Increased Sensitivity of Surface Plasmon Resonance of Gold Nanashells compared to That of Gold Solid Colloids in Response to Environmental Changes", Anal. Chem. 2002, Vol. 74, No. 20, pp. 5297-5305.			
EXAMINER				DATE CONSIDERED	
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant					